

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Sadao MIZUNO et al. :  
Serial No. NEW : **Attn: APPLICATION BRANCH**  
Filed October 29, 2003 : Attorney Docket No. 2003\_1572

CONVERGING ELEMENT, OPTICAL HEAD,  
AND APPARATUS AND METHOD OF  
OPTICALLY RECORDING AND REPRODUCING  
INFORMATION

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEES FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975

**(Rule 1.53(b) Divisional  
of Serial No. 09/700,343,  
Filed November 14, 2000)**

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**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 C.F.R. 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on the attached Form PTO-1449. Each reference listed on the Form PTO-1449 was previously cited by or submitted to the Patent Office in prior parent application Serial No. 09/700,343, filed November 14, 2000.

1a.  This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

**and thus no certification and/or fee is required.**

1b.  This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1)  the certification of paragraph 2 below is provided, **or**

(2)  the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c.  This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a.  that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b.  that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3.  Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
  - a.  a full or partial English language translation submitted herewith,
  - b.  a foreign patent office search report (in the English language) previously submitted in parent application Serial No. 09/700,343,
  - c.  the concise explanation contained in the specification of the present application at page ,
  - d.  the concise explanation set forth in the attached English language abstract (previously submitted in parent application Serial No. 09/700,343),
  - e.  the concise explanation set forth below or on a separate sheet attached to the reference:
5.  A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Sadao MIZUNO et al.

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October 29, 2003

| FORM PTO 1449 (modified)<br>U.S. DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE<br>LIST OF REFERENCES CITED BY APPLICANT(S)<br>(Use several sheets if necessary)<br>Date Submitted to PTO: October 29, 2003 |    |                 | ATTY DOCKET NO.<br>2003_1572     |                 | SERIAL NO.<br>NEW |          |                            |  |
|--|----|-----------------|----------------------------------|-----------------|-------------------|----------|----------------------------|--|
|  |    |                 | APPLICANT<br>Sadao MIZUNO et al. |                 |                   |          |                            |  |
|  |    |                 | FILING DATE<br>October 29, 2003  |                 |                   | GROUP    |                            |  |
|  |    |                 | U.S. PATENT DOCUMENTS            |                 |                   |          |                            |  |
| *EXAMINER INITIAL  |    | DOCUMENT NUMBER | DATE                             | NAME            | CLASS             | SUBCLASS | FILING DATE IF APPROPRIATE |  |
|  | AA | 5,889,748       | 3/30/99                          | Shimano et al.  |                   |          |                            |  |
|  | AB | 5,822,135       | 10/13/98                         | Lee et al.      |                   |          |                            |  |
|  | AC | 5,883,873       | 7/1997                           | Morita          |                   |          |                            |  |
|  | AD | 6,400,670       | 11/1996                          | Dang            |                   |          |                            |  |
|  | AF | 5,978,346       | 1/1998                           | Mizuno et al.   |                   |          |                            |  |
| FOREIGN PATENT DOCUMENTS   |    |                 |                                  |                 |                   |          |                            |  |
|  |    | DOCUMENT NUMBER | DATE                             | COUNTRY         | CLASS             | SUBCLASS | TRANSLATION<br>YES NO      |  |
|  | AF | 0 859 356       | 9/16/98                          | EP              |                   |          |                            |  |
|  | AG | 0 865 037       | 9/16/98                          | EP              |                   |          |                            |  |
|  | AH | 0 838 812       | 4/29/98                          | EP              |                   |          |                            |  |
|  | AI | 0 818 781       | 1/14/98                          | EP              |                   |          |                            |  |
|  | AJ | 10-124912       | 5/15/98                          | JP              |                   |          | Abstract                   |  |
|  | AK | 7-065407        | 3/10/95                          | JP              |                   |          | Abstract                   |  |
|  | AL | 11-002759       | 1/6/99                           | JP              |                   |          | Abstract                   |  |
|  | AM | 10-026726       | 1/27/98                          | JP              |                   |          | Abstract                   |  |
|  | AN | 10-214431       | 8/11/98                          | JP              |                   |          | Abstract                   |  |
|  | AO | 10-275355       | 10/13/98                         | JP              |                   |          | Abstract                   |  |
| OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)   |    |                 |                                  |                 |                   |          |                            |  |
|  | AP |                 |                                  |                 |                   |          |                            |  |
|  | AQ |                 |                                  |                 |                   |          |                            |  |
| EXAMINER   |    |                 |                                  | DATE CONSIDERED |                   |          |                            |  |